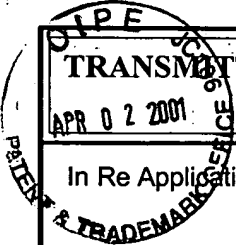


04-03-01

0400



TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No. **3731**
13861.21.2

In Re Application Of: **Blatter et al.**

Serial No. 09/736,937	Filing Date December 14, 2000	Examiner Not Yet Assigned	Group Art Unit Not Yet Assigned
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Title: **LOCKING COMPRESSION PLATE ANASTOMOSIS APPARATUS**

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Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

13861.21.2

Re Application Of: Blatter et al.

Serial No.

09/736,937

Filing Date

December 14, 2000

Examiner

Not Yet Assigned

Group Art Unit

Not Yet Assigned

Title: **LOCKING COMPRESSION PLATE ANASTOMOSIS APPARATUS**

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Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)

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Typed or Printed Name of Person Signing Certificate

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Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

*This certificate may only be used if paying by deposit account.

Kevin B. Laurence

Signature

Dated: April 2, 2001

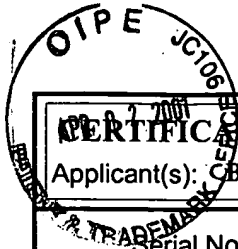
Kevin B. Laurence
Registration No. 38,219
WORKMAN, NYDEGGER & SEELEY



022913

PATENT TRADEMARK OFFICE

CC:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **Blatter et al.**

Docket No.

13861.21.2

Serial No.

09/736,937

Filing Date

December 14, 2000

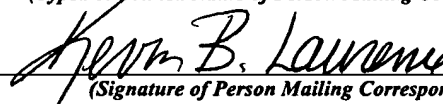
Examiner

Not Yet Assigned

Group Art Unit

Not Yet AssignedInvention: **LOCKING COMPRESSION PLATE ANASTOMOSIS APPARATUS****RECEIVED****JUN 05 2001**I hereby certify that this **Supplemental Information Disclosure Statement (including the items below)** **TECHNOLOGY CENTER R3700**
(Identify type of correspondence)is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.20231-0001 on **April 2, 2001**
(Date)**Kevin B. Laurence**

(Typed or Printed Name of Person Mailing Correspondence)



(Signature of Person Mailing Correspondence)

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**022913**

PATENT TRADEMARK OFFICE

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Transmitted: Supplemental Information Disclosure Statement (2 pgs.)
Form PTO-1449 listing eleven (11) references (2 pgs.)
Transmittal for Supplemental Information Disclosure Statement (2 pgs.)
Certificate of Mailing by "Express Mail" Under Section 1.10
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Postcard



Express Mailing Label No. EL 819 963 918 US

PATENT APPLICATION

Docket No: 13861.21.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)	
)	
Duane D. Blatter)	
)	
Serial No.: 09/736,937)	
)	Art Unit
Filed: December 14, 2000)	_____
)	
For: LOCKING COMPRESSION PLATE)	
ANASTOMOSIS APPARATUS)	
)	
Examiner: _____)	

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

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TECHNOLOGY CENTER R3700

Please find, pursuant to 37 CFR § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

Statement of References Previously Disclosed
Under 37 C.F.R. § 1.98(d)

The listed references listed in the accompanying Form-PTO 1449 are not enclosed because, under 37 C.F.R. § 1.98(d), they were previously cited by or submitted to the Office in application number 09/460,740, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

DATED this 2ND day of April, 2001.

Respectfully submitted,



Kevin B. Laurence
Attorney for Applicant
Registration No. 38,219

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022913

PATENT TRADEMARK OFFICE



Form PTO-149

Applicant: Walter et al.

Serial No.: 09/736,937

Filing Date: December 14, 1999

For: LOCKING COMPRESSION PLATE AND FASTENERS
APPARATUS

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Sheet 1 of 2

Att'y Docket No. 13861.21.2

Group: Not Yet Assigned

Examiner: Not Yet Assigned

SUPPLEMENTAL INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
_____ A1	6,007,576	Dec. 28, 1999	McClellan	A61F	2/06	April 6, 1998
_____ A2	5,951,576	Sep. 14, 1999	Wakabayashi	A61B	17/08	March 2, 1998
_____ A3	5,843,088	Dec. 1, 1998	Barra et al.	A61N	1/362	June 6, 1995
_____ A4	5,830,222	Nov. 3, 1998	Makower	A61D	17/32	Oct. 11, 1996
_____ A5	5,035,702	Jul. 30, 1991	Taheri	A61B	17/00	June 18, 1990
_____ A6	4,861,336	Aug. 29, 1989	Helzel	A61M	5/00	April 1, 1988
_____ A7	4,233,981	Nov. 18, 1980	Schomacher	A61B	17/04	Dec. 14, 1977
_____ A8	3,258,012	June 28, 1966	Nakayama et al	128-334		June 20, 1962
_____ A9	3,254,650	June 7, 1966	Collito	128-334		Mar. 19, 1962
_____ A10	2,434,030	Jan. 6, 1948	Yeomans	128-346		Nov. 13, 1945

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publ. Date</u>	<u>Country or Patent Office</u>	<u>Class</u>	<u>Sub Class</u>	<u>Translation</u>
_____ A11	WO 93/00868	Jan. 21, 1993	PCT	A61F	2/06	

Examiner: Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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Form PTO-1449

Applicant: Blatter et al.

Serial No.: 09/736,937

Filing Date: December 14, 1999

For: LOCKING COMPRESSION PLATE ANASTOMOSIS
APPARATUS

Sheet 2 of 2

Att'y Docket No. 13861.21.2

Group: Not Yet Assigned

Examiner: Not Yet Assigned

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 CFR §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. §1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner: Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
